

PTO/SB/01 (12-97)

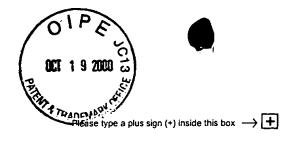
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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)			Attorney Docket Nu	mber	96700/488			
			First Named Invento	r	Nancy Carrasco			
			COMPLETE IF KNOWN					
			Application Number	09/5	09/519,959			
☐ Declaration		Declaration Submitted after Initial Filing (surcharge	Filing Date	Marc	ch 7, 2000			
	OR		Group Art Unit					
Filing		(37 CFR 1.16 (e)) required)	Examiner Name					

As a below named inv	entor, I hereby declare the	at:							
My residence, post office address, and citizenship are as stated below next to my name.									
I believe I am the origina	al first and sole inventor (if	ook		first and joint inventor (if plural					
METHODS FOR	THE DIAGNOSIS	AND TREATMENT	OF BDEA	of the invention entitled:					
	_ =	WIND INCATINEIAL	OF BREAS	STCANCER					
the specification of white	ch ,	Title of the state of							
is attached heret	·o	Title of the Invention)							
OR was filed on (MM/	(DD 0 0 0 0 1								
	(DD/YYYY) 03/07/2000	as Uni	ted States Applic	ation Number or PCT International					
Application Number 09/	/519,959 and	was amended on (MM/DD/	YYYY)	(if applicable).					
I hereby state that I have	reviewed and understand th		ntified specification	on including the claims as					
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T acknowledge the duty to	disclose information which i	is material to patentability as	s defined in 37 C	FR 1.56.					
or of any PCT international	rity benefits under 35 U.S.(PCT international applicat ave also identified below, by application having a filing da	y checking the box, any fore ate before that of the applica	and one would be	cation(s) for patent or inventor's other than the United States of or patent or inventor's certificate, onty is claimed.					
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO					
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Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:									
states provisional application (a) United States provisional application									
Application Number	(s) Filing Dat	e (MM/DD/YYYY)							
			numbe supple	onal provisional application ors are listed on a mental priority data sheet B/02B attached hereto.					
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[Page 1 of 2]
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Attorney Docket Number 96700/488 **DECLARATION FOR UTILITY OR Nancy Carrasco** First Named Inventor **DESIGN COMPLETE IF KNOWN** PATENT APPLICATION (37 CFR 1.63) Application Number 09/519,959 March 7, 2000 Filing Date Declaration ☑ Declaration OR Submitted after Initial Submitted Group Art Unit Filing (surcharge (37 CFR 1.16 (e)) with Initial Examiner Name required)

As a below named inver	ntor, I hereby declare that:									
My residence, post office	address, and citizenship are	as stated below next to my	rame.							
	I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:									
METHODS FOR THE DIAGNOSIS AND TREATMENT OF BREAST CANCER										
the specification of which (Title of the Invention) is attached hereto										
OR was filed on (MM/D	03/07/2000	as Unite	d States Applica	ation Number or P	CT International					
Application Number 09/5	519,959 and w	as amended on (MM/DD/Y	YYY)		(if applicable).					
amended by any amendme	eviewed and understand the ent specifically referred to about the control of the	ove.	·	-	aims, as					
I hereby claim foreign priori certificate, or 365(a) of any America, listed below and ha or of any PCT international a	ive also identified below, by o	in which designated at lea	ist one country ign application for	other than the Up or patent or invent	nited States of					
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Cop	y Attached? NO					
			0000	0000						
Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:										
I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.										
Application Number	(s) Filing Date	e (MM/DD/YYYY)	numbe supple	onal provisional ers are listed on emental priority SB/02B attached	a data sheet					
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Additions	Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.									· · · · · · · · · · · · · · · · · · ·			
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Name	Craiç	g J. Arnold,	Esq.										
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Address	90 Pa	ark Avenue											
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	ven Nar	me (first and mi	iddle [if	anyl)					Famil	y Name	or Su	mame	
Nancy		····					Car	rrasc	ю.				
Inventor's Signature		See	PZ	<u>'</u>								Date	10/18/00
Residence: C	City	New York			State	NY	Cc	ountry	U.S.A.			Citizenship	Mexican
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Post Office A	ddress												<u> </u>
City		New York	State	NY		ZIP	10	024		Cour	ntry	U.S.A.	
Additional	invento	rs are being na	ımed or	1 the _1	1_su	polementa	l Addi	itional	Inventor(s) s	sheet(s)	PTO/	SB/02A atta	ched hereto

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DECLARATION

ADDITIONAL INVENTOR(S) Supplemental Sheet Page 1 of 1

Name of Addition	nal Joint Inventor, if	any:			A petiti	on has been	filed for th	is unsigned	inventor	
Given Na	ame (first and middle (if a	ny])		Family Name or Surname						
Orsolya	///	-		Dol	han					
Inventor's Signature	W /			<u>. </u>				Date	10/18/00	
Residence: City	Bronx	State	NY		Country	U.S.A.		Citizenship	Hungarian	
Post Office Address	1579 Rhinelander	Ave., A	pt. 4-C				· · · · · ·			
Post Office Address										
City	Bronx	State	NY		ZIP	10461	Country	U.S.A.		
Name of Addition	nal Joint Inventor, if a	any:			A petitio	on has been f	led for thi	s unsigned	inventor	
Given Na	me (first and middle [if ar	ıy])				Family N	ame or S	umame		
Uygar H.		_		T	azeba	у				
Inventor's Signature	Un/	vl		7				Date	10.5.00	
Residence: City	Bronx ANKARA	State	NY '		Country	U.S.A . ⊤	urkey	Citizenship		
Post Office Address	1579 Rhinelander	Ave., A	pt. 3- -	BI	LKENT	T LOJMA	NLARI	37/1	L UH	
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Name of Addition	al Joint Inventor, if a	ny:			A petition	n has been fil	ed for this	unsigned in	nventor	
Given Nan	ne (first and middle [if an	y])				Family Na	me or Su	mame		
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Inventor's Signature								Date		
Residence: City		State		C	ountry			Citizenship		
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	registered practitioner(s) na			Registered	1 Practit	tioner I	nformation sh	eet PTC)/SB/02	C attached he	reto.
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Name	Craig J. Arnold, I	Esq.									
Address	Amster, Rothstei		Ebenstein								 :
Address	90 Park Avenue					_					
City	New York				Sta	ate	NY	ZIP	100	016	
Country	U.S.A.	-	Telephon	ne (212)) 697-		5	Fax	(21	2) 286-08	 54
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Name of Sc	ole or First Inventor:] _			□ A	petitic	n has been	filed for	r this ι	unsigned inve	entor
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Irene L.					Wap	pnir				<u> </u>	
Inventor's Signature	House	11	10 m	wi						Date	
Residence: C	Stanfor	rd	CA State	y .	Coı	untry	U.S.A.			Citizenship	U.S.
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Additional	inventors are being nam	_	the sup							SR/02A attac	Lad barata





Patent Attorney's Docket No. <u>96700/488</u>

Applicant or Patentee: Nancy Carrasco, Orsolya Dohan, Uygar H. Tazebay, and Irene L. Wapnir
Application or Patent No.: 09/519,959
Filed or Issued: March 7, 2000
For: METHODS FOR THE DIAGNOSIS AND TREATMENT OF BREAST CANCER
VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 C.F.R. §§ 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION
I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:
NAME OF NONPROFIT ORGANIZATION <u>University of Medicine and Dentistry of New Jersey</u>
ADDRESS OF NONPROFIT ORGANIZATION 335 George Street, P.O. Box 2688
New Brunswick, New Jersey 08903
TYPE OF NONPROFIT ORGANIZATION:
[X] University or other institution of higher education [] Tax exempt under Internal Revenue Service Code (26 U.S.C. § § 501(a) and 501(c)(3)) [] Nonprofit scientific or educational under statute of state of The United States of America (Name of state [Citation of statute [] Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. § § 501(a) and 501(c)(3) if located in The United States of America [] Would qualify as nonprofit scientific or educational under statue of The United States of America if located in The United States of America [Name of state [Citation of statute]
(Citation of statute)
hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:
 [] the specification filed herewith with title as listed above. [X] the application identified above. [] the patent identified above.
hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the Inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).
Each person, concern or organization having any rights in the invention is listed below: [] no such person, concern, or organization exists. [X] each such person, concern, or organization is listed below
Albert Fig. 4.1 O. H

Albert Einstein College of Medicine of Yeshiva University

-1-





I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

SIGNATURE Onflight	
	New Brunswick, New Jersey 08903
ADDRESS OF PERSON SIGNING	335 George Street, P.O. Box 2688
TITLE IN ORGANIZATION	Vice President for Research
NAME OF PERSON SIGNING	L.M. Stephenson, Ph.D.



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STATEMENT CLAIMING SMALL ENTITY STATUS	Docket Number (Optional)
(37 CFR 1.9(f) & 1.27(d))NONPROFIT ORGANIZATION	96700/488
Applicant, Patentee, or Identifier: Nancy Carrasco, Orsolya Dohan, Uygar H. Tazebay, and Application or Patent No.: 09/519,959 Filed or Issued: Filed: March 7, 2000	Irene L. Wapnir
Title: METHODS FOR THE DIAGNOSIS AND TREATMENT OF BREAST CANCER	
I hereby state that I am an official empowered to act on behalf of the nonprofit organization ide NAME OF NONPROFIT ORGANIZATION Albert Einstein College of Medicine ADDRESS OF NONPROFIT ORGANIZATION 1300 Morris Park Avenue, Bronx	
TYPE OF NONPROFIT ORGANIZATION: UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION	
TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501	(c)(3))
NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED (CITATION OF STATUTE)	TED STATES OF AMERICA) ,)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 IF LOCATED IN THE UNITED STATES OF AMERICA	U.S.C. 501(a) and 501(c)(3))
■ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE	.)
I hereby state that the nonprofit organization identified above qualifies as a nonprofit organ 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regain:	ization as defined in 37 CFR rding the invention described
 ☐ the specification filed herewith with title as listed above. ☑ the application identified above. ☐ the patent identified above. 	
I hereby state that rights under contract or law have been conveyed to and remain wit regarding the above identified invention. If the rights held by the nonprofit organization are no concern, or organization having rights in the invention must file separate statements as to their that no rights to the invention are held by any person, other than the inventor, who would not qualify under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).	status as small entities and
Each person, concern, or organization having any rights in the invention is listed below:	
☐ no such person, concern, or organization exists. ☑ each such person, concern, or organization is listed below. University of Medicine and Dentistry of New Jersey	
I acknowledge the duty to file, in this application or patent, notification of any change entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))	tee or any maintenance rec
NAME OF PERSON SIGNING Emanuel Genn	
TITLE IN ORGANIZATION OF PERSON SIGNING Associate Dean for Business A	Affairs
ADDRESS OF PERSON SIGNING 300 Morris Park Avenue, Bronx, NY, 1046	<u>51</u>
SIGNATURE DATE DATE	

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